

Introduction to Operating Systems

What's an OS?

The OS is a layer between applications and hardware to ease development.

- **Abstraction.** provides abstraction for applications:
 - manages + hides hardware details
 - uses low-level interfaces (not available to applications)
 - multiplexes hardware to multiple programs (*virtualization*)
 - makes hardware use efficient for applications
- **Protection.**
 - from processes using up all resources (*accounting, allocation*)
 - from processes writing into other processes memory
- **Resource Management.**
 - manages + multiplexes hardware resources
 - decides between conflicting requests for resource use
 - *goal*: efficient + fair resource use
- **Control.**
 - controls program execution
 - prevents errors and improper computer use

→ no universally accepted definition

Hardware Overview

- **Bus:** CPU(s)/devices/memory (conceptually) connected to common bus
 - CPU(s)/devices competing for memory cycles/bus
 - all entities run concurrently
 - *today*: multiple buses
- **Device controller:** has local buffer and is in charge of particular device
- **Interplay:**
 1. CPU issues commands, moves data to devices
 2. Device controller informs APIC that it has finished operation
 3. APIC signals CPU
 4. CPU receives device/interrupt number from APIC, executes handler

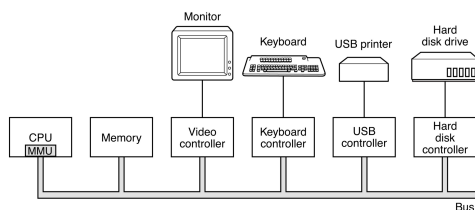


Figure 1: Traditional bus design.

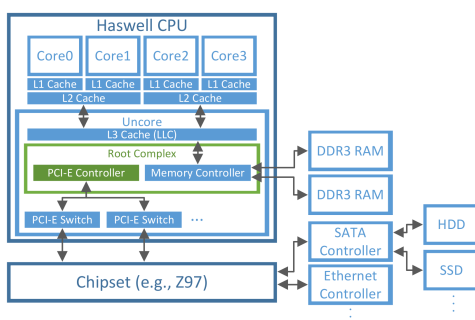


Figure 2: Modern bus design.

Central Processing Unit (CPU) — Operation

- **Principle:**
 1. *fetches* instructions from memory,
 2. *executes* them
- **During execution:** (meta-)data is stored in CPU-internal registers, i.e.
 - general purpose registers
 - floating point registers
 - instruction pointer (IP)
 - stack pointer (SP)
 - program status word (PSW)

CPU — Modes of Execution

- **User mode** (x86: Ring 3/CPL 3):
 - only non-privileged instructions may be executed
 - cannot manage hardware → *protection*
- **Kernel mode** (x86: Ring 0/CPL 0):
 - all instructions allowed
 - can manage hardware with *privileged instructions*

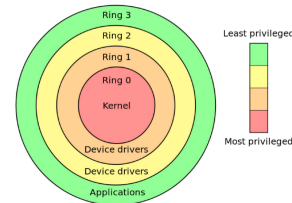


Figure 3: The different protection layers in the ring model.

Random Access Memory (RAM)

- **Principle:** keeps currently executed instructions + data
- **Connectivity:**
 - *today*: CPUs have built-in **memory controller**
 - **CPU caches**: “wired” to CPU
 - **RAM**: connected via pins
 - **PCI-E switches**: connected via pins

Caches

- **Problem:** RAM delivers instructions/data slower than CPU can execute
- **Locality principle:**
 - *spatial locality*: future refs often near previous accesses (e.g. next byte in array)
 - *temporal locality*: future refs often at previously accessed ref (e.g. loop counter)
- **Solution:** *caching* helps mitigating this memory wall
 1. *copy* used information temporarily from slower to faster storage
 2. *check* faster storage first before going down *memory hierarchy*
 3. if *not found*, data is copied to cache and used from there
- **Access latency:**
 - *register*: ~1 CPU cycle
 - *L1 cache* (per core): ~4 CPU cycles
 - *L2 cache* (per core pair): ~12 CPU cycles
 - *L3 cache/LLC* (per uncore): ~28 CPU cycles (~25 GiB/s)
 - *DDR3-12800U RAM*: ~28 CPU cycles + ~50ns (~12 GiB/s)

Device controlling

- **Device controller:** controls device, accepts commands from OS via *device driver*
- **Device registers/memory:**
 - *control* device by writing device registers
 - *read* status of device by reading device registers
 - *pass data* to device by reading/writing device memory
- **Device registers/memory access:**
 1. **port-mapped IO** (PMIO): use special CPU instructions to access port-mapped registers/memory
 2. **memory-mapped IO** (MMIO):
 - use same address space for RAM and device memory
 - some addresses map to RAM, others to different devices
 - access device's memory region to access device registers/memory
 3. **Hybrid**: some devices use hybrid approaches using both

Summary

- The OS is an **abstraction** layer between applications and hardware (multiplexes hardware, hides hardware details, provides protection between processes/users)
- The CPU provides a **separation** of User and Kernel mode (which are required for an OS to provide protection between applications)
- CPU can execute commands faster than memory can deliver instructions/data — **memory hierarchy** mitigates this memory wall, needs to be carefully managed by OS to minimize slowdowns
- device drivers **control** hardware devices through PMIO/MMIO
- Devices can **signal** the CPU (and through the CPU notify the OS) through interrupts

OS Concepts

OS Invocation

- OS Kernel does **not** always run in background!
- Occasions invoking kernel, switching to kernel mode:
 1. **System calls**: User-Mode processes require higher privileges
 2. **Interrupts**: CPU-external device sends signal
 3. **Exceptions**: CPU signals unexpected condition

System Calls — Motivation

- **Problem**: protect processes from one another
- **Idea**: Restrict processes by running them in user-mode
- **~ Problem**: now processes cannot manage hardware,...
 - who can switch between processes?
 - who decides if process may open certain file?
- **~ Idea**: OS provides **services** to apps
 1. app calls system if service is needed (**syscall**)
 2. OS checks if app is allowed to perform action
 3. if app may perform action and hasn't exceeded quota, OS performs action in behalf of app in kernel mode

System Calls — Examples

- `fd = open(file, how, ...)` – open file for read/write/both
- documented e.g. in `man 2 write`
- overview in `man 2 syscalls`

System Calls vs. APIs

- **Syscalls**: interface between apps and OS services, limited number of well-defined entry points to kernel
- **APIs**: often used by programmers to make syscalls (e.g. `printf` library call uses `write` syscall)
- common APIs: Win32, POSIX, C API

System Calls — Implementation

- **Trap Instruction**: single syscall interface (entry point) to kernel
 - switches CPU to kernel mode, enters kernel in same way for all syscalls
 - *system call dispatcher* in kernel then acts as syscall multiplexer
- **Syscall Identification**: number passed to trap instruction
 - *Syscall Table* maps syscall numbers to kernel functions
 - *Dispatcher* decides where to jump based on number and table
 - programs (e.g. `stdlib`) have syscall number compiled in!
 - ~ never reuse old syscall numbers in future kernel versions

Interrupts

- **Devices**: use interrupts to signal predefined conditions to OS
 - *reminder*: device has “interrupt line” to CPU (e.g. device controller informs CPU that operation is finished)
- **Programmable Interrupt Controller**: manages interrupts
 - interrupts can be *masked* (queued, delivered when interrupt unmasked)
 - queue has finite length ~ interrupts can get lost
- **Examples**:
 1. *timer-interrupt*: periodically interrupts processes, switches to kernel ~ can then switch to different processes for fairness
 2. *network interface card* interrupts CPU when packet was received ~ can deliver packet to process and free NIC buffer
- **Interrupt process**:
 1. CPU looks up *interrupt vector* (= table pinned in memory, contains addresses of all service routines)
 2. CPU transfers control to respective *interrupt service routine* in OS that handles interrupt~ interrupt service routine must first save interrupted process's state (instruction pointer, stack pointer, status word)

Exceptions

- **Motivation**: unusual condition → impossible for CPU to continue processing
- **~ Exception** generated within CPU:
 1. CPU interrupts program, gives kernel control
 2. kernel determines reason for exception
 3. if kernel can resolve problem ~ does so, continues *faulting instruction*
 4. kills process if not

- **Difference to Interrupts**: interrupts can happen in any context, exceptions always occur asynchronous and in process context

OS Concepts — Physical Memory

- up to early 60s:
 - programs loaded and run directly in *physical memory*
 - program too large → partitioned manually into *overlays*
 - OS: swaps overlays between disk and memory
 - different jobs could observe/modify each other

OS Concepts — Address Spaces

- **Motivation**: bad programs/people need to be isolated
- **Idea**: give every job the illusion of having all memory to itself
 - every job has own *address space*, can't name addresses of others
 - jobs always and only use virtual addresses

Virtual Memory — Indirect Addressing

- **MMU**: every CPU has built-in *memory management unit* (MMU)
- **Principle**: translates virtual addresses to physical addresses at every load/store
~ address translation protects one program from another
- **Definitions**:
 - *Virtual address*: address in process' address space
 - *Physical address*: address of real memory

Virtual Memory — Memory Protection

- **Kernel-only Virtual Addresses**
 - kernel typically part of all address spaces
 - ensures that apps can't touch kernel memory
- **Read-only virtual addresses**: can be enforced by MMU
 - allows safe sharing of memory between apps
- **Execute Disable**: can be enforced by MMU
 - makes code injection attacks harder

Virtual Memory — Page Faults

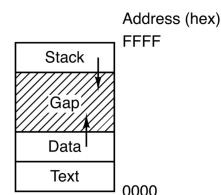
- **Motivation**: not all addresses need to be mapped at all times
 - MMU issues *page fault* exception when accessed virtual address isn't mapped
 - OS handles page faults by loading faulting addresses and then continuing the program
- ~ memory can be *over-committed*: more memory than physically available can be allocated to application
- **Illegal addresses**: page faults also issued by MMU on illegal memory accesses

OS Concepts — Processes

- **Process**: program in execution (“instance” of program)
- each process is associated with
 - **Process Control Block** (PCB): contains information about allocated resources
 - virtual **Address Space** (AS):
 - all (virtual) memory locations a program can name
 - starts at 0 and runs up to a maximum
 - address 123 in AS1 generally ≠ address 123 in AS2
 - indirect addressing ~ different ASes to different programs
- ~ *protection between processes*

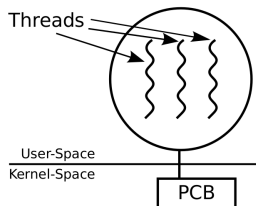
OS Concepts — Address Space Layout

- **Sections**: address spaces typically laid-out in different sections
 - memory addresses between sections *illegal*
 - illegal addresses ~ page fault (*segmentation fault*)
 - OS usually kills process causing segmentation fault
- **Important sections**:
 - *Stack*: function history, local variables
 - *Data*: Constants, static/global variables, strings
 - *Text*: Program code



OS Concepts — Threads

- **Thread:** represents execution state of process (≥ 1 thread per process)
 - *IP:* stores currently executed instruction (address in **text** section)
 - *SP:* stores address of stack top (> 1 threads \rightarrow multiple stacks!)
 - *PSW:* contains flags about execution history (e.g. last calculation was 0 \rightarrow used in following jump instruction)
 - more general purpose registers, floating point registers,...



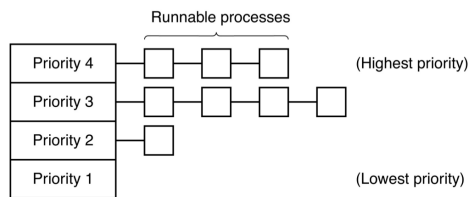
OS Concepts — Policies vs. Mechanisms

- **Mechanism:** implementation of what is done (e.g. commands to write to HDD)
- **Policy:** rules which decide when what is done and how much (e.g. how often, how many resources are used,...)

\rightarrow mechanisms can be reused even when policy changes

OS Concepts — Scheduling

- **Motivation:** multiple processes/threads available \leadsto OS needs to switch between them (for multitasking)
- **Scheduler:** decides which job to run next (*policy*) — tries to
 - provide fairness
 - meet performance goals
 - adhere to priorities
- **Dispatcher:** performs task-switching (*mechanism*)



OS Concepts — Files

- **Motivation:** OS hides peculiarities of file storage, programmer uses device-independent *files/directories*
- **Files:** associate *file name* and *offset* with bytes
- **Directories:** associate *directory names* with directory names or file names
- **File System:** ordered block collection
 - main task: translate (dir name + file name + offset) to block
 - programmer uses file system operations to operate on files (**open, read, seek**)
 - processes can communicate directly through special *named pipe* file (used with same operations as any other file)

OS Concepts — Directory Tree

- **Directories:** form *directory tree/file hierarchy* \rightarrow structure data
- **Root Directory:** topmost directory in tree
- **Path Name:** used to specify file

OS Concepts — Mounting

- **Unix:** common to orchestrate multiple file systems in single file hierarchy
- file systems can be *mounted* on directory
- **Win:** manage multiple directory hierarchies with drive letters (e.g. **C:** \Users)

OS Concepts — Storage Management

- **OS:** provides uniform view of information storage to file systems
 - *Drivers:* hide specific hardware devices \rightarrow hides device peculiarities
 - general interface abstracts physical properties to logical units \rightarrow block
- **Performance:** OS increases I/O performance:
 - *Buffering:* Store data temporarily while transferred
 - *Caching:* Store data parts in faster storage
 - *Spooling:* Overlap one job's output with other job's input

Summary

- **OS:** provides abstractions for and protection between applications
- **Kernel:** does not always run — certain events invoke kernel
 - *syscall:* process asks kernel for service
 - *interrupt:* device sends signal that OS has to handle
 - *exception:* CPU encounters unusual situation
- **Processes:** encapsulate resources needed to run program in OS
 - *threads:* represent different execution states of process
 - *address space:* all memory process can name
 - *resources:* allocated resources, e.g., open files
- **Scheduler** decides which process to run next when multi-tasking
- **Virtual Memory** implements address spaces, provides protection between processes
- **File system** abstracts background store using I/O drivers, provides simple interface (files + directories)

Processes

The Process Abstraction

- **Motivation:** computers (seem to) do "several things at the same time" (quick process switching \rightarrow *multiprogramming*)
- **Model:** *process abstraction* models this concurrency:
 - container contains information about program execution
 - conceptually, every process has own "virtual CPU"
 - execution context is changed on process switch
 - dispatcher switches context when switching processes
 - **context switch:** dispatcher saves current registers/memory mappings, restores those of next process

Process-Cooking Analogy

- Program/Process like Recipe/Cooking
- **Recipe:** lists ingredients, gives algorithm what to do when
 - \leadsto program describes memory layout/CPU instructions
- **Cooking:** activity of using the recipe
 - \leadsto process is activity of executing a program
- multiple similar recipes for same dish
 - \leadsto multiple programs may solve same problem
- recipe can be cooked in different kitchens at the same time
 - \leadsto program can be run on different CPUs at the same time (as different processes)
- multiple people can cook one recipe
 - \leadsto one process can have several worker threads

Concurrency vs. Parallelism

- OS uses concurrency + parallelism to implement multiprogramming
 1. **Concurrency:** multiple processes, one CPU
 - \leadsto not at the same time
 2. **Parallelism:** multiple processes, multiple CPU
 - \leadsto at the same time

Virtual Memory Abstraction — Address Spaces

- every process has own *virtual addresses* (**vaddr**)
- MMU relocates each load/store to *physical memory* (**pmem**)
- processes never see physical memory, can't access it directly
- + MMU can enforce protection (mappings in kernel mode)
- + programs can see more memory than available
 - 80:20 rule: 80% of process memory idle, 20% active
 - can keep working set in RAM, rest on disk
- need special MMU hardware

Address Space (Process View)

- **Motivation:** code/data/state need to be organized within process
 - \leadsto *address space layout*
- **Data types:**
 1. *fixed size* data items
 2. data naturally *freed in reverse allocation order*
 3. data *allocated/freed "randomly"*
- compiler/architecture determine how large int is and what instructions are used in text section (**code**)

- **Loader** determines based on exe file how executed program is placed in memory

Segments — Fixed-Size Data + Code

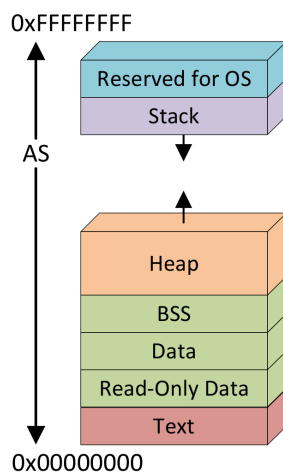
- some data in programs never changes or will be written but never grows/shrinks
~> memory can be statically allocated on process creation
- **BSS segment** (*block started by symbol*):
 - statically allocated variables/non-initialized variables
 - executable file typically contains starting address + size of BSS
 - entire segment initially 0
- **Data segment**: fixed-size, initialized data elements (e.g. global variables)
- **Read-only data segment**: constant numbers, strings
- All three sometimes summarized as one segment
- compiler and OS decide ultimately where to place which data/how many segments exist

Segments — Stack

- some data naturally freed in reverse allocation order
 - very easy memory management (stack grows upwards)
- fixed segment starting point
- store top of latest allocation in **stack pointer** (SP) (initialized to starting point)
- *allocate* **a** byte data structure: `SP += a; return(SP - a)`
- *free* **a** byte data structure: `SP -= a`

Segments — Heap (Dynamic Memory Allocation)

- some data "randomly" allocated/freed
- two-tier memory allocation:
 1. allocate large memory chunk (**heap segment**) from OS
 - base address + **break pointer** (BRK)
 - process can get more/give back memory from/to OS
 2. dynamically partition chunk into smaller allocations
 - `malloc/free` can be used in random order
 - purely user-space, no need to contact kernel



Summary

Processes: recipe vs. cooking = program vs. process

- processes = resource container for OS
- process feels alone (has own CPU and memory)
- OS implements multiprogramming through rapid process switching

Process API

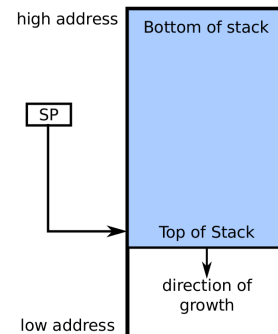
Execution Model — Assembler (simplified)

- **Principle:** OS interacts directly with compiled programs
 - switch between processes/threads ~> *save/restore* state
 - deal with/pass on *signals/exceptions*
 - receive *requests* from applications
- **Instructions:**
 - `mov`: Copy referenced data from second operand to first operand
 - `add/sub/mul/div`: Add,...from second operand to first operand
 - `inc/dec`: increment/decrement register/memory location

- `shl/shr`: shift first operand left/right by amount given by second operand
- `and/or/xor`: calculate bitwise and,...of two operands storing result in first
- `not`: bitwise negate operand

Execution Model — Stack (x86)

- **stack pointer** (SP): holds address of stack top (growing downwards)
- **stack frames**: larger stack chunks
- **base pointer** (BP): used to organize stack frames



Execution Model — jump/branch/call commands (x86)

- `jmp`: continue execution at operand address
- `j$condition`: jump depending on PSW content
 - *true* ~> jump
 - *false* ~> continue
 - examples: `je` (jump equal), `jz` (jump zero)
- `call`: push function to stack and jump to it
- `return`: return from function (jump to return address)

Execution Model — Application Binary Interface (ABI)

- **Idea:** standardizes binary interface between programs, modules, OS:
 - executable/object file layout
 - calling conventions
 - alignment rules
- **calling conventions:** standardize exact way function calls are implemented
~> interoperability between compilers

Execution Model — calling conventions (x86)

- function call — **caller**:
 1. save local scope state
 2. set up parameters where function can find them
 3. transfer control flow
- function call — **called function**:
 1. set up new local scope (local variables)
 2. perform duty
 3. put return value where caller can find it
 4. jump back to caller (IP)

Passing parameters to the system

- parameters are passed through **system calls**
- call number + specific parameters must be passed
- parameters can be transferred through
 - **CPU registers** (~6)
 - **Main Memory** (heap/stack – more parameters, data types)
- ABI specifies how to pass parameters
- **return code** needs to be returned to application
 - *negative*: error code
 - *positive + 0*: success
 - usually returned via A+D registers

System call handler

- implements the actual service called through a syscall:
 1. saves tainted registers
 2. reads passed parameters
 3. sanitizes/checks parameters
 4. checks if caller has enough permissions to perform the requested action
 5. performs requested action in behalf of the caller
 6. returns to caller with success/error code

Process API — creation

- process creation events:
 - system initialization
 - process creation syscall
 - user requests process creation
 - batch job-initiation
- events map to two mechanisms:
 - Kernel spawns initial user space process on boot (Linux: `init`)
 - User space processes can spawn other processes (within their quota)

Process API — creation (POSIX)

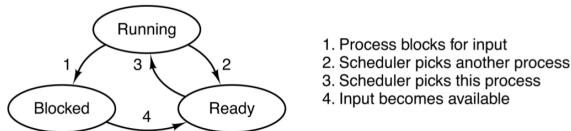
- PID**: identifies process
- pid = fork()**: duplicates current process:
 - returns 0 to new child
 - returns new **PID** to parent→ child and parent independent after `fork`
- exec(name)**: replaces own memory based on executable file
 - name** specifies binary executable file
- exit(status)**: terminates process, returns **status**
- pid = waitpid(pid, &status)**: wait for child termination
 - pid**: process to wait for
 - status**: points to data structure that returns information about the process (e.g., exit status)
 - passed **pid** is returned on success, -1 otherwise
- process tree**: processes create child processes, which create child processes, ...
 - parent and child execute concurrently
 - parent waits for child to terminate (collecting the exit state)

Daemons

- = program designed to run in the background
- detached from parent process after creation, reattached to process tree root (`init`)

Process States

- blocking**: process does nothing but wait
 - usually happens on syscalls (OS doesn't run process until event happens)



Process Termination

- different termination events:
 - normal exit (voluntary)
 - `return 0` at end of `main`
 - `exit(0)`
 - error exit (voluntary)
 - `return x` ($x \neq 0$) at end of `main`
 - `exit(x)` ($x \neq 0$)
 - `abort()`
 - fatal error (involuntary)
 - OS kills process after exception
 - process exceeds allowed resources
 - killed by another process (involuntary)
 - another process sends kill signal (only as parent process or administrator)

Exit Status

- voluntary exit: process returns exit status (integer)
- resources not completely freed after process terminates → **Zombie** or **process stub** (contains exit status until collected via `waitpid`)
- Orphans**: Processes without parents
 - usually adopted by `init`
 - some systems kill all children when parent is killed
- exit status on involuntary exit:
 - Bits 0-6: signal number that killed process (0 on normal exit)
 - Bit 7: set if process was killed by signal
 - Bits 8-15: 0 if killed by signal (exit status on normal exit)

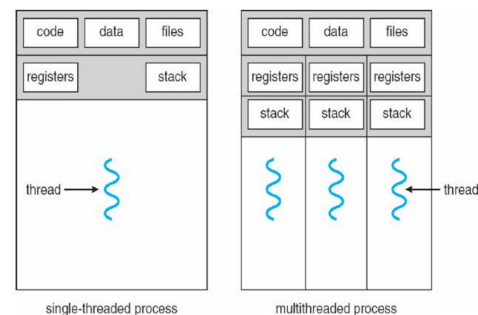
Threads

Processes vs. Threads

- Traditional OS**: each process has
 - own address space
 - own set of allocated resources
 - one thread of execution (= one execution state)
- Modern OS**: processes + threads of execution handled more flexibly
 - processes* provide abstraction of address space and resources
 - threads* provide abstraction of execution states of that address space
- Exceptions**:
 - sometimes different threads have different address spaces
 - Linux: threads = regular processes with shared resources and AS regions

Threads — why?

- many programs do multiple things at once (e.g. web server)
 - writing program as many sequential threads may be easier than with blocking operations
- Processes**: rarely share data (if, then explicitly)
- Threads**: closely related, share data



Threads — POSIX

- PThread**: base object with
 - identifier* (thread ID, TID)
 - register set* (including IP and SP)
 - stack area* to hold execution state
- Pthread_create**: create new thread
 - Pass: *pointer* to `pthread_t` (will hold TID after successful call)
 - Pass: *attributes, start function, arguments*
 - Returns: 0 on success, error value else
- Pthread_exit**: terminate calling thread
 - Pass: exit code (casted to void pointer)
 - Free's resources (e.g. stack)
- Pthread_join**: wait for specified thread to exit
 - Pass: `pthread_t` to wait for (or -1 for any thread)
 - Pass: pointer to pointer for exit code
 - Returns: 0 on success, error value else
- Pthread_yield**: release CPU to let another thread run

Threads — Problems

- Processes vs. Threads**:
 - Processes*: only share resources explicitly
 - Threads*: more shared state → more can go wrong
- Challenges**: programmer needs to take care of
 - activities*: dividing, ordering, balancing
 - data*: dividing
 - shared data*: access synchronizing

PCB vs. TCP

- PCB (process control block)**: information needed to implement processes
 - always known to OS
- TCB (thread control block)**: per thread data
 - OS knowledge depends on *thread model*

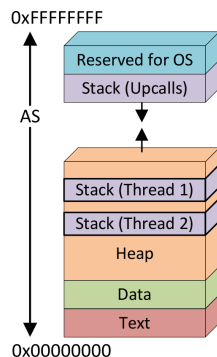
PCB	TCB
Address space	Instruction pointer
Global variables	Registers
Open files	Stack
Child processes	State
Pending alarms	

Thread models

- **Kernel Thread:** known to OS kernel
- **User Thread:** known to process
- **N:1-Model:** kernel only knows one of possibly multiple threads
 - N:1 user threads = *user level threads* (ULT)
- **1:1-Model:** each user thread maps to one kernel thread
 - 1:1 user threads = *kernel level threads* (KLT)
- **M:N-Model** (hybrid model): flexible mapping of user threads to less kernel threads

Thread models — N:1

- Kernel only manages process → multiple threads unknown to kernel
- Threads managed in user-space library (e.g. GNU Portable Threads)
- **Pro:**
 - + faster thread management operations (up to 100 times)
 - + flexible scheduling policy
 - + few system resources
 - + usable even if OS doesn't support threads
- **Con:**
 - no parallel execution
 - whole process blocks if one user thread blocks
 - reimplementing OS parts (e.g. scheduler)
- **Stack:**
 - main stack known to OS used by thread library
 - own execution state (= stack) dynamically allocated by user thread library for each thread
 - possibly own stack for each exception handler
- **Heap:**
 - concurrent heap use possible
 - *Attention:* not all heaps are reentrant
- **Data:** divided into BSS, data and read-only data here as well

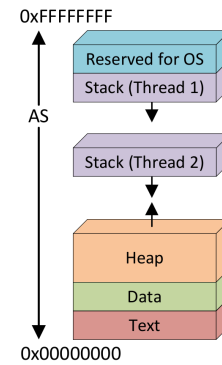


Thread models — 1:1

- kernel knows + manages every thread
- **Pros:**
 - + real parallelism possible
 - + threads block individually
- **Cons:**
 - OS manages every thread in system (TCB, stacks,...)
 - Syscalls needed for thread management
 - scheduling fixed in OS
- **Stack:**
 - own execution state (= stack) for every thread
 - possibly own stack for (each) exception handler
- **Heap:**
 - parallel heap use possible
 - *Attention:* not all heaps are thread-safe
 - if thread-safe: not all heap implementations perform well with many threads
- **Data:** divided into BSS, data and read-only data here as well

Thread models — M:N

- **Principle:** M ULTs are maps to (at most) N KLT
 - *Goal:* pros of ULT and KLT — non-blocking with quick management
 - create sufficient number of KLTs and flexibly allocate ULTs to them



- *Idea:* if ULT blocks ULTs can be switched in userspace
- **Pros:**
 - + flexible scheduling policy
 - + efficient execution
- **Cons:**
 - hard to debug
 - hard to implement (e.g. blocking, number of KLTs,...)
- **Implementation — Up-calls:**
 - kernel notices that thread will block → sends signal to process
 - up-call notifies process of thread id and event that happened
 - exception handler of process schedules a different process thread
 - kernel later informs process that blocking event finished via other up-call

Summary

- programs often do closely related things at once
 - mapped to thread abstraction: multiple threads of execution operate in same process
 - differentiation between process information (PCB) and thread information (TCB)
 - **thread models:**
 - $N : 1$: threads fully managed in user-space
 - $1 : 1$: threads fully managed by kernel
 - $M : N$: threads are flexibly managed either in user-space or kernel
 - multi-threaded programs operate on same data concurrently or even parallel:
 - *synchronization:* accessing such data must be synchronized
- makes writing such programs challenging

Scheduling

Motivation

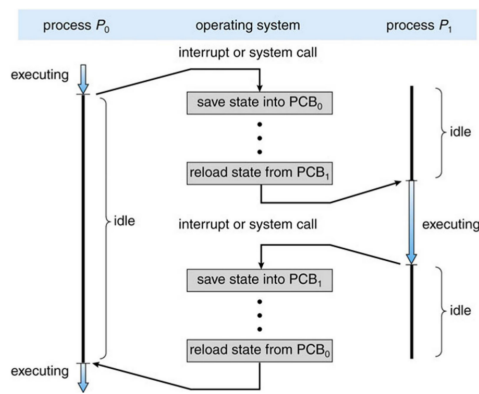
- K jobs ready to run, $K > N \geq 1$ CPUs available
- **Scheduling Problem:**
 - Which jobs should kernel assign to which CPUs?
 - When should it make decision?

Dispatcher

- **Dispatcher:** performs actual process switch
 - mechanism
 - save/restore process context
 - switch to user mode
- **Scheduler:** selects next process to run based on *policy*

Voluntary Yielding vs. Preemption

- kernel responsible for CPU switch
- kernel doesn't always run → can only dispatch different process when invoked
- **cooperative multitasking:** running process performs *yield* syscall
 - kernel switches process
- **preemptive scheduling:**
 - kernel invoked in certain time intervals
 - kernel makes scheduling decisions after every time-slice



Scheduling — Process States

- **new:** process was created but did not run yet
- **running:** instructions are currently being executed
- **waiting:** process is waiting for some event
- **ready:** process is waiting to be assigned a processor
- **terminated:** process has finished execution

Scheduling — long-term vs. short-term

- **Short-term scheduler** (CPU Scheduler, focused on in this lecture):
 - selects process to run next, allocates CPU
 - invoked frequently (ms) \leadsto must be fast
- **Long-term scheduler** (job scheduler):
 - selects process to be brought into ready queue
 - invoked very infrequently (s, m) \leadsto can be slow
 - controls degree of *multiprogramming*

Scheduling queues

- **job queue:** set of all processes in system
- **ready queue:** process in main memory, ready or waiting
- **device queue:** processes waiting for I/O device

Scheduling Policies — Categories

- **batch scheduling:**
 - still widespread in business (payroll, inventory,...)
 - no users waiting for quick response
 - non-preemptive algorithms acceptable \rightarrow less switches \rightarrow less overhead
- **interactive scheduling:**
 - need to optimize for response time
 - preemption essential to keep processes from hogging CPU
- **real-time scheduling:**
 - guarantee job completion within time constraints
 - need to be able to plan when which process runs + how long
 - preemption not always needed

Scheduling Policies — Goals

- **General:**
 - *fairness:* give each process fair share of CPU
 - *balance:* keep all parts of system busy
- **batch scheduling:**
 - *throughput:* number of processes that complete per time unit
 - *turnaround time:* time from job submission to job completion
 - *CPU utilization:* keep CPU as busy as possible
- **interactive scheduling:**
 - *waiting time:* reduce time a process waits in waiting queue
 - *response time:* time from request to first response
- **real-time scheduling:**
 - *meeting deadlines:* finishing jobs in time
 - *predictability:* minimize jitter

Scheduling Policies — first come first served

- intuitively clear
- **Example:** 3 processes arrive at time 0 in the order P_1, P_2, P_3

Process	Burst time	Turnaround time
P_1	24	24
P_2	3	27
P_3	3	30

- \leadsto average turnaround time 27 \rightarrow can we do better?
- **Conclusion:** if processes would arrive in order P_2, P_3, P_1 , average turnaround time would be 13
- \leadsto good scheduling can reduce turnaround time

Scheduling Policies — shortest job first

- **Benefits:** optimal average turnaround/waiting/response time
- **Challenge:** cannot know job lengths in advance
- **Solution:** predict length of next CPU burst for each process
 - \leadsto schedule process with shortest burst next
- **Burst Estimation:** *exponential averaging*
 - $\tau_{n+1} = \alpha t_n + (1 - \alpha) \tau_n$
 - (t_n : actual length of n -th CPU burst, τ_{n+1} : predicted length of next CPU burst, $0 \leq \alpha \leq 1$)

Process Behavior — CPU bursts

- CPU bursts exist because processes wait for I/O
- **CPU-bound processes:** spends more time doing computations
 - \leadsto few very long CPU bursts
- **I/O-bound processes:** spends more time doing I/O
 - \leadsto many short CPU bursts

Scheduling Policies — preemptive shortest-job-first

- SJF optimizes waiting/response time
 - \leadsto what about throughput?
- **Problem:** CPU-bound jobs hold CPU until exit or I/O \rightarrow poor I/O utilization
- **Idea:** SJF, but preempt periodically to make new scheduling decision
 - each time slice: schedule job with shortest remaining time next
 - alternatively: schedule job with shortest next CPU burst

Scheduling Policies — round robin

- **Problem:** batch schedulers suffer from starvation and don't provide fairness
- **Idea:** each process runs for small CPU time unit
 - *time quantum/time slice* length: usually 10-100ms
 - preempt processes that have not blocked by end of time slice
 - append current thread to end of run queue, run next thread
- **Caution:** time slice length needs to balance interactivity and overhead!
 - \rightarrow if time slice length in the area of dispatch time, 50% of CPU time wasted for process switching

Scheduling Policies — virtual round robin

- **Problem:** RR is unfair for I/O-bound jobs: they block before using up time quantum
- **Idea:** put jobs that didn't use up their quantum in additional queue
 - store share of unused time-slice
 - give those jobs additional queue priority
 - put them back into normal queue afterwards

Scheduling Policies — (strict) priority scheduling

- **Problem:** not all jobs are equally important
 - \leadsto different priorities (e.g., 4)
- **Solution:** associate priority number with each process
 - RR for each priority
 - *aging:* old low priority processes get executed before new higher priority processes

Scheduling Policies — multi-level feedback queue

- **Problem:** context switching expensive
 - \leadsto trade-off between interactivity and overhead?
- **Goals:**
 - higher priority for I/O jobs (usually don't use up quantum)
 - low priority for CPU jobs (rather run them longer)
- **Idea:** different queues with different priorities and time slice lengths
 - schedule queues with (static) priority scheduling
 - double time slice length in each next-lower priority
 - process to higher priority when they don't use up quantum repetitively
 - process to lower priority when they use up quantum repetitively

Scheduling Principles — priority donation

- **Problem:** Process B (higher priority) waits for process A (lower priority)
~> B has now effectively lower priority
- **Solution:** *priority donation*
 - give A priority of B as long as B waits for A
 - if C, D, E wait for B → A gets highest priority of B, C, D, E

Scheduling Policies — lottery scheduling

- issue number of lottery tickets to processes (amount depending on priority)
- amount of tickets controls average proportion of CPU for each process
- **Scheduling:** scheduler draws random number N , process with N -th ticket is executed
- processes can transfer tickets to other processes if they wait for them

Summary

- **phases:** processes have phases of communication and waiting for I/O
→ appropriate switching between processes increases computing system utilization
- **goal-based:** scheduler decides what appropriate means based on goals
 - *long-term scheduler:* degree of multiprogramming
 - *short-term scheduler:* which process to run next
- **dispatching:** only happens when OS is invoked
 - *cooperative scheduling:* currently running thread yields (syscall)
 - *preemptive scheduling:* OS is called periodically to switch threads